

ATTORNEY'S DOCKET NO. P03773US1  
EXPRESS MAIL LABEL # EL327120380US  
MAILED: January 7, 2000

**TITLE:** POSITION ANALYSIS SYSTEM AND METHOD

**Inventor:** Bill J. Bonnstetter

**Citizenship:** United States

**Residence:** Scottsdale, Arizona 85254  
Maricopa County

**Mailing Address:** 6602 E. Ludlow Dr.  
Scottsdale, Arizona 85254

**Inventor:** Susan J. Fronk

**Citizenship:** United States

**Residence:** Anthem, Arizona  
Maricopa County

**Mailing Address:** 3221 W. Hazelhurst Lane  
Anthem, Arizona 85086-1001

1    **I.    CROSS-REFERENCE TO RELATED APPLICATION**

2            This application claims the benefit of U.S.  
3    Provisional Application Serial No. 60/115,300 filed January  
4    8, 1999.

5    **II.   INCORPORATION BY REFERENCE**

6            The entire contents of U.S. Patent Number 5,551,880,  
7    issued September 3, 1996, are incorporated by reference  
8    herein.

9    **III. BACKGROUND OF THE INVENTION**

10   **A.   *Field of the Invention***

11            The present invention relates to a system and method  
12   of testing or interviewing persons for a particular job or  
13   work position, and in particular, to a system and method  
14   for improving the likelihood the person will perform highly  
15   in the particular job or assisting the person to increase  
16   performance in the particular job, particularly jobs that  
17   require human interaction.

18   **B.   *Problems in the Art***

19            It is difficult to accurately predict how successful a  
20   person will be in a particular job or work position.  
21   Traditional hiring practices involve reviewing a potential  
22   employee's resume and personally interviewing the  
23   candidate. Studies have found this a remarkably  
24   ineffective, or at least unpredictable, method of hiring  
25   highly performing individuals for particular jobs. For  
26   example, a recent university study suggests that while 90%

1 of employees are hired by personal interviews, only 14% of  
2 those hired turn out to be highly successful in the  
3 particular job.

4 It is believed that the reason for the low success  
5 rate is due in part to human nature. Interviews have  
6 conscious or unconscious biases that effect judgment or  
7 ability to predict a success employee. Or interviewers do  
8 not know the important matters about the job and/or the  
9 person in relation to the job to effectively interview the  
10 potential employee. See, for example, Plotkin, Harris,  
11 "Building a Winning Team", Griffen Publishing, 544 Colorado  
12 Street, Glendale, CA (1997).

13 People have been using skills for selection of  
14 employees for years. However, they can not validate the  
15 process. They are biased and can not identify if they are  
16 measuring a skill, behavior or attitude, for example. If  
17 skills always led to performance, all CPA's, attorneys,  
18 medical doctor, nurses, engineers and artists would be  
19 successful. If intelligence always led to success, all  
20 valedictorians would be successful.

21 The behaviorist who has used behavior as a part of the  
22 selection process is biased and does not acknowledge the  
23 need to look at skills, intelligence, attitudes and  
24 beliefs.

25 The amount of people who understand and use attitudes  
26 for selection are biased and do not look at the other views  
27 either. Generally all the people who are involved in  
28 selection are biased and have trouble truly looking at a  
29 job or position the way they should be viewed. No one  
30 addresses the passions of individuals that can be met by  
31 certain jobs. Selection asks, "What does it take to be a  
32 key performer in a certain job?". While ways exist to

1 measure talent, there has not been a way to be able to find  
2 a place to drop the talent in, i.e., match a job to the  
3 talent.

4 Numerous and increasing attempts have been made to  
5 create a system for hiring or identifying which persons  
6 will be successful for particular jobs. A number of  
7 testing systems have been developed and are in use. Many  
8 focus on the technical competency of the potential  
9 employee. Many focus purely on the behavioral  
10 characteristics of the employee.

11 One such system is described in U.S. Patent 5,551,880  
12 (incorporated by reference herein). This system extracts  
13 information from the potential employee through a  
14 questionnaire. In the case of this patent, the  
15 questionnaire probes the behavioral and value  
16 characteristics of the individual. Those characteristics  
17 are compared to behavioral and value characteristics that  
18 are exhibited by persons successful in the particular job.  
19 A computer can be used to keep track of the questionnaire  
20 answers, their ratings, and their comparison to standards,  
21 and a printout can be created which allows the employer to  
22 evaluate the potential employee to see if they match up  
23 with successful models for the job. Alternatively, the  
24 system can be used to test existing employees to see if  
25 they fit a job, or to help them improve in a job.

26 While the patented system described previously has  
27 been found to be a much better predictor of employee  
28 success for a job, there are still needs in the art. The  
29 previously described system is focused on the people and  
30 their characteristics. More emphasis, or at least  
31 significant emphasis on what characteristics the job

1 requires, may lead to even better predictions of employee  
2 success.

3       There are currently discussions of "competency" for  
4 jobs. See, for example, Parry, Scott B., "Just What is a  
5 Competency?" June 1998 issue of TRAINING, pp. 58 - 63;  
6 Klein, Andrews, L., "Validity and Reliability for  
7 Competency-based system: Reducing Litigation Risks", Vol.  
8 28, COMPENSATION & BENEFITS REVIEW, 07-17-1996, pp. 31(7).  
9 While there is much discussion of competency, an effective  
10 way to measure the talent of a person and then find a job  
11 to maximize the talent of the person is not known.

12       Therefore, there is a real need in the art for an  
13 improvement regarding this question. It is therefore a  
14 principal object of the invention to provide a system and  
15 method that improves upon or solves the problems and  
16 deficiencies in the art.

17       The many attempts to shift the focus of inquiry from  
18 interviews and resumes to an evaluation of "competencies"  
19 of potential employees beg the question—how does one define  
20 "competencies" and which ones are relevant?

21       There is no agreement on these questions. Many  
22 attempts at using "competencies" mix hard skills, e.g.  
23 technical competencies, with what are sometimes called  
24 "soft skills", e.g. more behavioral related. Others come  
25 up with generalized, "one size fits all" approaches.

26       Some companies hire consultants to tailor competency  
27 models to a particular company or job.

28       The problems with present attempts include inaccuracy,  
29 biases, cost, and ineffectiveness. A "one size fits all"  
30 approach does not take into account that different jobs  
31 require different competencies. It also does not allow for  
32 differences in company goals or philosophies.





- 1 19. Minimizes the time required to develop competency  
2 models.
- 3 20. Assists in the development of competency profiles  
4 that clarify job descriptions in terms of  
5 behavior.
- 6 21. Provides a job-related basis for coaching and  
7 mentoring.
- 8 22. Provides job-related links between the recruiting,  
9 selection and performance management processes for  
10 specific positions.
- 11 23. Can be implemented using paper and pencil,  
12 Intranet or Internet.
- 13 24. Provides methodologies for developing competency-  
14 based succession plans for key positions.
- 15 25. Provides the framework for tailoring training and  
16 development programs to individual needs.
- 17 26. Collects and interprets multiple inputs and  
18 perspectives on position requirements and  
19 performance issues.
- 20 27. Clarifies where training and development  
21 investments will be cost effective and where they  
22 may not be justified.
- 23 28. Provides insight into management or cultural  
24 biases on performance issues.
- 25 29. Provides information that can assist new hires to  
26 understand what behaviors they will need to  
27 demonstrate in a specific position.
- 28 30. Provides a framework for assessing the impact of  
29 internal or external changes on the behaviors  
30 necessary for performance in a specific position.
- 31 31. Assists organizations to develop a baseline for an  
32 inventory of their current workforce competencies.



- 1        32. Provides a competency-based framework for  
2        workforce planning.
- 3        33. Provides objective, job-specific language for  
4        appraising performance.
- 5        34. Assists in the development of a competency-based  
6        compensation system.
- 7        35. Provides a methodology for clarifying the shifts  
8        in importance of soft skill competencies between  
9        positions represented in career ladders or within  
10       job families.

11       These and other objects, features, and advantages of  
12       the present invention will become more apparent with the  
13       accompanying specification and claims.

#### 14       **IV. SUMMARY OF THE INVENTION**

15       The present invention comprises a system and method  
16       for analyzing a job or work position and then evaluating  
17       applicants for the position to determine if their  
18       characteristics will make them high performers in the  
19       position. The present invention is particularly useful  
20       relative to jobs or positions that have human interaction,  
21       either with persons inside the company, e.g. co-workers,  
22       or persons outside the company, e.g. customers, suppliers,  
23       etc.

24       First, a set or family of characteristics, herein  
25       called Competencies, specifically related to observable  
26       behaviors in the workplace for most jobs or positions is  
27       defined.

28       Second, one or more persons familiar with the  
29       position, and preferably highly performing individuals in  
30       the position, are interrogated regarding the Set of  
31       Competencies. Optionally, not only are the individuals



1    **V.    BRIEF DESCRIPTION OF THE DRAWINGS**

2            Figure 1 is a diagrammatic view of a system according  
3    to an embodiment of the present invention.

4            Figure 2 is a flow chart of the method of using the  
5    system of Figure 1 according to the invention.

6            Figures 3A to 3U are an example of a Position Survey  
7    used with the method of Figure 2, including indicia to  
8    assist in an understanding of a method of processing the  
9    Position Survey.

10           Figures 4A and 4B are tables used in processing the  
11   Position Survey.

12           Figures 5A and 5B are tables used in processing the  
13   Position Survey.

14           Figures 6 A to 6AB are an example of a master Position  
15   Report used to create specific Position Reports for a  
16   variety of jobs or positions from results of a Position  
17   Survey.

18           Figures 7A to 7N are a hypothetical specific Position  
19   Report for a first job.

20           Figures 8A to 8P are a hypothetical specific Position  
21   Report for a second job.

22           Figures 9A to 9P are a hypothetical specific Position  
23   Report for a third job.

24           Figures 10A to 10P are a hypothetical specific  
25   Position Report for a fourth job.

26           Figure 11 is a flow chart for an optional procedure  
27   for validating a Position Report.

28           Figures 12A to 12K are an example of a Personal  
29   Competency Inventory that can be used with the method  
30   according to the invention, including indicia to assist in



1 VI. DETAILED DESCRIPTION OF A PREFERRED EMBODIMENT

2 A. Overview

3 The preferred embodiment will be described with  
4 respect to analyzing a potential candidate for a position  
5 or job in a company. It is to be understood that the  
6 invention can be utilized for a variety of types of jobs or  
7 positions, indeed for most.

8 A set of observable behaviors, identified as being  
9 pertinent to most jobs is defined. This Set of  
10 Competencies is used to an analysis of the job or position  
11 in question. A questionnaire called a Position Survey (see  
12 Figure 3) is created by this analysis using the Set of  
13 Competencies. The questionnaire is taken by people  
14 (subject mater experts) who know the job at issue.

15 Based upon the answers to the questions, which probe a  
16 variety of Competencies, a profile of the job is produced.  
17 By having these in hand, the company can interview  
18 applicants to find out which persons have not only the  
19 skills for the job, but also the behaviors,  
20 values/attitudes, and risk level for the company.

21 This allows a set of interview questions to be  
22 produced to pull out information from the interviewee to  
23 allow an unbiased assessment of whether the interviewee not  
24 only meets skills requirements but also most likely has the  
25 passion for the job. Stated differently, it is a way to  
26 characterize the job, not by technical competency alone,  
27 but also by what might be exciting and stimulating to  
28 certain types of people. It allows an almost automated way  
29 (bypassing interviewer biases) of identifying the right  
30 persons for the right job. Because the questionnaire of  
31 several high performers provides the blueprint for the

1 right person for the job, when the person answers certain  
2 questions the right way during the interview, the  
3 interviewer basically just watches for those "right"  
4 answers, and when received is compelled to hire the person,  
5 even if the interviewers biases suggest otherwise.

6 Patent 5,551,880 looked at behaviors and values based  
7 on what persons saw in themselves. The present invention  
8 profiles the job in more of a complete sense; i.e. not only  
9 behavior and values, but also skills needed and optionally,  
10 the intelligence and any hard skills. Still further, the  
11 point of reference of looking at these different areas is  
12 from the needs of the job, not from how people rate  
13 themselves about the job. It is relatively easy to match a  
14 person's skills with a job, but what about motivation?  
15 Does that person have the passion to do the best in the  
16 job? Applicants sometimes do not know their own  
17 competencies or are reluctant to disclose their weaknesses.  
18 The present invention bypasses these problems with  
19 traditional interviews by profiling the job for high  
20 performance, and then subtly, probing the interviewee both  
21 head-on (for skills) and obliquely (behavior traits,  
22 values/attitudes) to see if the person has the passion to  
23 highly perform in the job, even if demonstrating good  
24 skills and aptitude.

25 **B. Environment**

26 The embodiment described herein is used to either  
27 evaluate potential employees for a position in a company,  
28 to evaluate a current employee in a position within a  
29 company, or to evaluate a job or position in a company so  
30 that a more effective strategy of obtaining correct

1 employees or more correctly planning the future of a  
2 company can be accomplished.

3 The described embodiment utilizes what is called in  
4 the art a "competency model". Such competency models have  
5 been widely discussed in the literature. For example, see  
6 Boyatzis, Richard, "The Competency Manager: A Mode For  
7 Effective Performance", John Wiley & Sons. (1982); and  
8 Spenser and Spenser, "Competence At Work", John Wiley &  
9 Sons (1993). As discussed previously herein, existing  
10 competency models do not agree with one another; and more  
11 importantly, focus on deriving competencies, no matter how  
12 defined, of a potential or existing employee.

13 The present invention starts with a definition of  
14 competencies that is based upon behaviors and values such  
15 as are defined in the co-owned, issued U.S. Patent  
16 5,551,880. Thus, the competencies are founded in the soft  
17 skills or more intangible aspects of a person's inherent  
18 make-up, as opposed to education, work experience, or  
19 technical ("hard") skills. Secondly, the methodology is  
20 based on first characterizing the job or position, as  
21 opposed to the person being evaluated for the job.

22 The invention can be useful in a number of ways. It  
23 will be first described with regard to evaluation of  
24 potential employees for a job.

## 25 **C. Definitions**

26 Some definitions will assist in an understanding of  
27 this description:

28 "Position" means a job in a given organization.

29 "Position Survey" means an initial questionnaire given  
30 to persons familiar with a position to derive competencies

1 deemed required for superior performance in such a  
2 position.

3 "Position Report" means a description of required  
4 competencies for superior performance for a position based  
5 on the Position Survey(s), and can include discussion of  
6 approaches for identifying prospects for the position and  
7 interviewing such prospects.

8 "Personal Competency Inventory" means a survey  
9 intended for a potential employee for the purpose of  
10 evaluating the potential employee's competencies related to  
11 the position.

12 "Feedback Survey" means a survey intended for any or  
13 all of an existing employee, an employee's superior(s),  
14 that employees peer(s), that employee's subordinate(s), or  
15 others having some relationship with the position.

16 "Feedback Report" means a description of the results  
17 from one or more "Feedback Surveys".

18 "Interview Record" means a form useful for an  
19 interviewer relative to an interviewee.

20 "Interview Candidate Comparison," means a form for an  
21 interviewer to help compare a plurality of interview  
22 candidates.

23 "Competency", as used herein, means a behaviorally-  
24 related observable characteristic in the workplace relative  
25 to a particular job from the Set of Competencies defined  
26 herein.

27 "Set of Competencies", as used herein, means a  
28 specific family of Competencies.

#### 29 **D. Apparatus**

30 Figure 1 illustrates a basic apparatus for using the  
31 system 10 according to the invention. A computer 12 would





1 reference numeral 36). Similarly, comparison of Position  
2 Survey 20 with Feedback Survey 24 could be produced (see  
3 reference numeral 38). Still further, other types of  
4 reports can be created as will be appreciated.

5 A communication network 18 can also be used to  
6 electronically transmit such reports to a desired location.  
7 For example, e-mail, modem, Worldwide Web, Intranet, etc.  
8 could be used to electronically communicate any of the  
9 reports to a remote site for display on a computer or  
10 printing of a hardcopy.

11 Subject matter experts could take Position Survey 20  
12 at a personal computer and submit to an employment agency  
13 in city A. Computer 12 could be located in city B. A  
14 potential employer could be located in city C. The  
15 potential employees, taking a Personal Competency Inventory  
16 22 in city A could have it transmitted to computer 12 in  
17 city B. Computer 12 could issue a report and send it  
18 electronically to city C for use by employer, comparing  
19 potential employee to the Position Report.

20 **E. Methodology**

21 Behind the surveys and reports created to define the  
22 Competencies related to superior performance in a job the  
23 identification, definition and selection of a family of  
24 Competencies referred to herein as the Set of Competencies.  
25 As previously discussed, much has been written about  
26 "competencies". However, no agreement exists as to what is  
27 a competency.

28 A standardized set, the Set of Competencies, is  
29 established. The Set of Competencies have also been  
30 derived from studies of foundational work on competency,  
31 and on foundational work relating to behaviors and

1 values/attitudes. This is described in U.S. Patent  
2 5,551,880.

3           Presently there are all sorts of definitions of what  
4 comprises a "competency" related to jobs or performance.  
5 As used herein, the Set of Competencies is selected as  
6 being almost universally relevant to most jobs or positions  
7 in the workplace. By relevant it is meant that across the  
8 universe of potential jobs and positions, these are usually  
9 possibly relevant, either as being very important to a job,  
10 somewhat important, or not important. It is to be  
11 understood that sometimes determining what is not important  
12 for good performance in a job, can be very valuable to  
13 accurately defining the job.

As can be appreciated, the Set of Competencies does not directly relate to resumes, education, technical experience, or prior job experience. They are "soft skills", or in other words, "demonstrable, observable behaviors".

19 (1) Set of Competencies

20 "Set of Competencies", for purposed herein, means the  
21 following Competencies with the following meanings:

- 22           1.     Leadership/Management: Achieving goals and  
23                     objectives through others.
- 24           2.     Employee Development/Coaching: Facilitating and  
25                     supporting the professional growth of others.
- 26           3.     Team Work: Working effectively and productively  
27                     with others.
- 28           4.     Conflict Management: Addressing and resulting  
29                     conflict constructively.

- 1       5.     Inter-Personal Skills: Effectively
- 2         communicating, building rapport and relating well
- 3         to all kinds of people.
- 4       6.     Problem Solving/Decision Making: Anticipating,
- 5         analyzing, diagnosing and resolving problems.
- 6       7.     Creativity/Innovation: Adapting traditional or
- 7         devising new approaches, concepts, methods,
- 8         models, designs, processes, technologies and
- 9         systems.
- 10      8.     Written Communication: Writing clearly,
- 11         succinctly and understandably.
- 12      9.     Customer Service: Anticipating, meeting or
- 13         exceeding customer needs, wants and expectations.
- 14      10.    Flexibility: Agility in adapting to change.
- 15      11.    Goal Orientation: Energetically focusing efforts
- 16         on meeting a goal, mission or objective.
- 17      12.    Planning/Organizing: Utilizing logical,
- 18         systematic and orderly procedures to meet
- 19         objectives.
- 20      13.    Diplomacy: Effectively handling difficult or
- 21         sensitive issues by utilizing tact, diplomacy and
- 22         an understanding of organizational culture,
- 23         climate and/or politics.
- 24      14.    Personal Effectiveness: Demonstrating
- 25         initiative, self-confidence, resiliency and a
- 26         willingness to take responsibility for personal
- 27         actions.
- 28      15.    Presenting: Communicating effectively to groups.
- 29      16.    Negotiation: Facilitating agreements between two
- 30         or more parties.
- 31      17.    Persuasion: Convincing others to change the way
- 32         they think, believe or behave.

- 1 18. Empathy: Identifying with and caring about
- 2 others.
- 3 19. Continuous Learning: Taking initiative in
- 4 learning and implementing new concepts,
- 5 technologies and/or methods.
- 6 20. Futuristic Thinking: Imagining, envisioning,
- 7 projecting and/or predicting what has not yet
- 8 been realized.
- 9 21. Decision Making: Utilizing effective processes
- 10 to make decisions.
- 11 22. Self Management: Demonstrating self-control and
- 12 an ability to manage time and priorities.
- 13 23. Management: Achieving extraordinary results
- 14 through effective manage of resources, systems,
- 15 and processes.

16 Therefore, the Set of Competencies, here twenty-three  
17 of them, are specifically defined. As can be seen, each  
18 have a directly behaviorally- or attitude- related aspect.

19 The Set of Competencies is used in the system of  
20 surveys and reports to assist in defining the behaviorally  
21 and attitude related characteristics of a wide variety of  
22 jobs as follows.

## 23 (2) Position Survey

24 To provide a standardized system for first defining  
25 behaviorally-related Competencies for most jobs, a  
26 standardized Position Survey 20 is created. An example is  
27 shown at Figure 3. It is constructed as follows.

28 An introductory page (Fig. 3B) is for administrative  
29 use, for example, calling for a job code, company name,  
30 title of the position, and nature of position. It also  
31 calls for information about the respondent, the person

1 filling out the Position Survey, including identification  
2 of Respondent and a code. Coding of the position and the  
3 Respondent helps facilitate computer processing and  
4 tracking.

5 Instructions, both at an introductory page (Fig. 3C)  
6 and continued throughout the Position Survey, key the  
7 Respondent to answer based not on how they think they  
8 perform in the position, or how they would like to perform,  
9 or even how they think they or others should perform; but  
10 rather on what the position requires for superior  
11 performance.

12 Some non-behaviorally-related factors can be elicited  
13 in a first section (Figs. 3D-E) of questions which surveys  
14 the type of authority, responsibility, accountability,  
15 consequences, and risks associated with the position. This  
16 information can be very helpful in evaluating or defining a  
17 position.

18 A second section (Figs. 3F-L) is directed towards  
19 behavioral requirements for the position. The questions  
20 are specifically constructed to elicit from a Respondent  
21 the type of observable behavior(s) that are deemed  
22 important in the position, and more specifically, the  
23 questions are specifically constructed to elicit the type  
24 of Competencies, from the Set of Competencies, the  
25 Respondent feels are required for superior performance in  
26 such a position.

27 A third section (Figs. 3M-3U) is directed at  
28 situational events for the position, but is specifically  
29 constructed to also elicit information from the Respondent  
30 about Competencies, from the Set of Competencies, required  
31 for superiors performance in such a position.

1       The way in which the Competencies are elicited from  
2 the survey is as follows. At least some of the queries of  
3 Sections 2 and 3 of the Position Survey 20 of Figure 3 are  
4 pre-coded. This is indicated by the handwritten  
5 letter/number combination to the right of some of the  
6 answers to the questions of Sections 2 and 3 of Position  
7 Survey 20 (Figures 3F-U). The hand-written letter/number  
8 combination(s) do not appear on Position Surveys given to  
9 Respondents. The correlation of those codings are stored  
10 in computer 12, so that computer 12 knows which questions  
11 of Position Report 20 are related to which Competencies.

12       Therefore, the answer given by a respondent to any  
13 such question implicates such Competency(ies).

14       Position Survey 20 is preferably given to one or more  
15 persons that clearly understand the position at issue.  
16 Preferably, these persons are selected who are themselves  
17 high performers or perform at a superior level in the  
18 position.

19       Figure 3 sets forth one such example of Position  
20 Survey 20. This is one example only and is by no way a  
21 limitation on what a Position Survey could contain or its  
22 format or content.

23       As also indicated by hand-written letters relative to  
24 certain questions in the Position Survey, the Position  
25 Survey can use the methodology of U.S. Patent 5,551,880 to  
26 simultaneously probe the Respondent for behavior and value  
27 characteristics relative to the job. Hand-written letters  
28 to the left and below certain questions (D, I, S, or C) are  
29 the same as disclosed in U.S. Patent 5,551,880 and  
30 reference can be taken to that patent for ways in which  
31 such can be processed. Computer 12 knows which questions  
32 from the Position Survey relate to which behaviorally-

1 related factors from the methodology of U.S. Patent  
2 5,551,880.

3 Likewise, the handwritten letters (Identified with T,  
4 U, A, S, I, Tr), the attitude being measured, to the right  
5 and below certain questions in Figure 3 sections 2 and 3  
6 are the same or similar to the values coding set forth in  
7 U.S. Patent 5,551,880. Computer 12 would be programmed  
8 accordingly.

9 Thus, Position Survey 20 is pre-designed to present a  
10 Respondent with queries, some of which directly relate to  
11 the Set of Competencies.

12 A Respondent goes through the Position Survey, and if  
13 he/she follows the directions, will answer the queries  
14 accordingly. The answers can be electronically recorded.  
15 However, it could be manually filled out.

### 16 (3) Processing the PS

17 The responses to Position Survey 20 are processed as  
18 follows.

19 The questions in the first section (Figs. 3D-3E) are  
20 also pre-coded in computer 12 (shown by hand-written  
21 letter/number combinations (to the right of certain  
22 queries). Figure 4A shows the scoring key for the first  
23 section. If a Respondent places a check in the blank next  
24 to a query that has B1, that element is rated by computer  
25 12 as being "slight", that is, slightly relevant to the  
26 position. A check for a query coded B5 would be rated  
27 "major", of major relevancy to the position.

28 Similarly, codings P1 to P5 and A1-A5 are handled in a  
29 similar way. Queries coded to B1-B5 relate to the job  
30 element accounts for results. Queries coded P1-P5 are



1 related to the job element results through people. Queries  
2 coded A1-A5 are related to the job element authority.

3 As shown in Figure 4B, the answers of the Respondent  
4 to section 1 of the Position Survey can be combined into a  
5 rating for each of the job elements "Responsibility for  
6 Results", "Responsibility for Result Thorough People",  
7 "Authority", and "Organizational Risks". These ratings can  
8 complement Competency and/or behavior/values ratings in  
9 defining the job and assist in the selection process and  
10 performance management.

11 The second and third sections of a Position Survey of  
12 Figure 3 are evaluated and processed as follows. First,  
13 the questions from those sections relate to each of 23  
14 competencies from the Set of Competencies. This is  
15 indicated by the hand-written numbers placed to the left  
16 side underneath the questions of Sections 2 and 3. These  
17 numbers reflect the competency or competencies being  
18 evaluated by each questionnaire to the numbers in the list  
19 of the Set of Competencies previously given. Again, the  
20 hand-written numbers placed near the questions of sections  
21 2 and 3 of the Position Survey of Figure 3 are to allow an  
22 understanding of how different ones of the questions are  
23 coded relative to different Competencies. The hand-written  
24 numbers would not appear on the Position Survey, but would  
25 be stored in computer 12 and correlated to the relevant  
26 questions.

27 Each taker of Position Survey 20 will answer all the  
28 questions related to each of the 23 of the Set of  
29 Competencies. Figure 5A illustrates an example of the  
30 distribution of the nine questions per each of the 23  
31 Competencies throughout sections 2 and 3 of the Position  
32 Survey.

1       The Respondent would answer each of the questions of  
2 sections 2 and 3 by indicating a value between 1 and 5 (see  
3 Figures 3F to 3U). Depending on those answers, each of the  
4 23 of the Set of Competencies will be ranked by the survey  
5 taker between a ranking of "essential" to "not necessary"  
6 in Section 2, in between a ranking of "extensive" to "very  
7 little" in Section 3. Points are assigned to each answer.  
8 For example, if the answer to question 1 is given as  
9 "essential", having a numerical value of "one" in Position  
10 Survey 20, a coding numerical value of "six" is given  
11 meaning that it has been given the most importance. If a  
12 "two" is circled, it is given a point rating of "five" and  
13 so on, so that if a "six" rating is circled, the numerical  
14 value is "one".

15       The most points available for a given competency would  
16 be 54 (nine questions times six possible points). The  
17 least value would be 9 (nine questions times one).

18       In this manner, software 14 of computer 12 can  
19 calculate which of the 23 competencies is ranked between  
20 "very important" and "not important" by the survey taker in  
21 the following manner.

22       If a Competency receives a score greater than 83% of  
23 the maximum score of 54 (that is, a score of 45 or more) is  
24 then ranked as "very important" for the job. Any  
25 Competency receiving a score of between 51% and 82% of  
26 possible 54 points (that is, a score of between 28 and 45)  
27 is rated as "important" for the job. Competencies scoring  
28 50% or under of maximum possible score (under 28 points)  
29 are ranked as "not important" for the job.

30       It is also to be understood that many of the questions  
31 in Position Survey 20 are intentionally derived from  
32 behaviors or values/attitudes as described in detail in

1 U.S. Patent 5,551,880. Hand-written codes are set forth in  
2 Figure 3, Sections 2 and 3, indicating correspondence of  
3 certain questions to behaviors and values (see Figure 5B  
4 for summary of how behavior and values codings are  
5 distributed between sections 2 and 3 of the Position Survey  
6 of Figure 3). Letters to the left below questions and  
7 Sections 2 and 3 indicate relationship to values coding (T,  
8 U, A, S, I, Tr) according to the 5,551,880 patent. Letters  
9 to the right below questions and Sections 2 and 3 of Figure  
10 3 relate to values coding from 5,551,880 patent. Thus, an  
11 interface between questions of Position Survey 20, and the  
12 Set of Competencies, and the behavior/values of the  
13 5,551,880 patent are utilized. By this combination, we can  
14 determine if the competency comes from nurture or nature.

15 Reference can be taken to U.S. Patent 5,551,880  
16 regarding how questions are coded, processed, and scored  
17 relative to behaviors and values.

18 Thus, a set of Respondents (one or more, preferably  
19 one to ten) who have knowledge about the position  
20 (preferably are high performers) take the Position Survey  
21 and define the job by the correlation of queries in the  
22 Position Survey to the 23 Competencies of the Set of  
23 Competencies.

#### 24 (5) Position Reports

25 Figures 6-10 illustrate Position Reports 30. Figure 6  
26 will be called a Master Position Report because it contains  
27 basically a complete listing of all the possible text files  
28 that could be utilized for each of the 23 of the Set of  
29 Competencies. It also shows the basic format for Position  
30 Report 30.

1       The Position Report is created by computer 12 from the  
2 results it processes from the Position Survey. Computer 12  
3 can process a Position Survey from one Respondent or  
4 integrate Position Surveys from a plurality of Respondents.

5       A description page (e.g. Figure 6B) explains the  
6 Position Report.

7       Then, a hierarchy of competencies is set forth (Figure  
8 6C). This is simply based on which of the 23 of the Set of  
9 Competencies receives enough points to fit into the "very  
10 important" class, "important" class, or "not important"  
11 class. The viewer of Position Report 30 can then quickly  
12 see which competencies are deemed very important,  
13 important, or not important for the job.

14       Secondly, Position Report 30 can include a section  
15 called "Distribution of Competency Rankings" (Figure 6E).  
16 Each respondent to Position Survey 20 would have a ranking  
17 in order of importance of the 23 competencies, which would  
18 be shown in this distribution. Discrepancies between  
19 different respondents could then be evaluated. It could  
20 point out certain competencies are indeed less important  
21 relative to others. It could also show a discrepancy that  
22 would assist in understanding of the position or create  
23 questions that could be evaluated to see if there is a  
24 reason for any inconsistencies.

25       Third, the report can contain "key characteristics of  
26 the position" (See Figure 6F). This is related most  
27 directly to Section 1 of Position Survey 20, as previously  
28 explained with respect to Figure 4B.

29       Thereafter, text files from text file 16 are available  
30 to construct a "Summary of Top Competencies" (Figs. 6G to  
31 6M). In Figure 6, all text files for all of the 23  
32 Competencies are set forth to show the different summaries

1 for each Competency. In an actual Position Report, only a  
2 few of the Competencies would normally be reported. It is  
3 believed that five to seven of the highest ranked  
4 competencies is all that is required to give a good  
5 characterization of the position.

6 Finally, Figures 60-6AB show the set of text files  
7 that are available to create behavioral interview  
8 questions. Such questions would give an interviewer the  
9 type of questions needed to find out or verify whether a  
10 job applicant fits the Competency model of the position  
11 defined by the Position Survey.

12 Figures 7, 8, 9, and 10 are hypothetical Position  
13 Reports 30 for four different jobs; namely, an automobile  
14 salesperson (Figure 7), a vice president of marketing  
15 (Figure 8), a computer programmer (Figure 9), and a  
16 customer service representative (Figure 10). As can be  
17 seen in comparing Figure 7-10, the hierarchy of  
18 competencies varies for each. For example, the automobile  
19 salesperson report 30 has only one "very important"  
20 competency common namely customer service. However,  
21 looking at the distribution of competency rankings, the two  
22 respondents to Position Survey 20 actually had four  
23 competencies ranked as "very important". This was  
24 interpreted as meaning that only customer service was truly  
25 "very important", because the competencies of "persuasion",  
26 "interpersonal skills", and "goal orientation" were never  
27 ranked at level 1 by either respondent. The summary of  
28 competencies reprinted text files regarding the top seven  
29 ranked competencies by the respondents.

30 In comparison, Figure 8 had 19 "very important"  
31 competencies. However, again, only the top seven were  
32 summarized.

1       Figure 9 also had one "very important" competency  
2       whereas Figure 10 has three.

3       Note also that Position Report 30 can contain other  
4       information. As shown in Figures 8-10, work environment  
5       (behavioral related characteristics for the position) can  
6       be summarized as can attitude or values related  
7       characteristics.

8       In addition, specific interview questions can be  
9       generated from text files 16 relative to each of the  
10      competencies determined to be most important for the  
11      position.

12      It can therefore be seen that the Position Survey,  
13      probing respondents for behaviors and values related  
14      competencies from the selected Set of Competencies, allows  
15      a definition of the job to be created in a Position Report  
16      30. The job thus quantified, is defined in terms of the  
17      type, the inherent behaviors of the person, and the  
18      attitudes or values of the person, that would provide  
19      superior performance for the job. This is different from  
20      evaluating a resume, or evaluating a person based just on  
21      interview. It is deriving a description of the job itself  
22      by listening to the behavioral and values traits that are  
23      articulated in the answers to the Position Survey by  
24      persons who do perform well in the job.

25      Once the most important competencies are identified  
26      for the job, a strategy for finding the correct and best  
27      candidates for the job can be created. Behavioral and  
28      attitude characteristics are summarized and listed in the  
29      Position Report. Interview questions are even created.

30      Figure 2 summarizes by flowchart for the previously  
31      described process. The actual position is first identified  
32      (50). Preferably, one to ten persons who clearly

1 understand the position are selected to take Position  
2 Survey 20 (52).

3 If Position Survey 20 is available in hardcopy or a  
4 form that can be directly displayed to the respondents  
5 (54), the appropriate Position Survey 20 is selected (56),  
6 printed (possibly from an Internet site) (58), copies are  
7 made for the appropriate number of persons (60) and an  
8 orientation session is held (62).

9 Selected persons take the questionnaire (64, 66, and  
10 68) and a "Position Folder" is created (70) to hold the  
11 questionnaires.

12 The responses of the respondents can be keyed into a  
13 computer (72) or stored on a storage medium such as a  
14 diskette. The responses in electronic form could be sent  
15 via Internet (74) or mailed (76) for processing.

16 Alternatively, the respondents could be given  
17 electronic versions of Position Survey 20 on diskette.  
18 They could electronically complete the survey, the  
19 diskettes could be collected, and either electronically or  
20 physically sent for processing by computer 12.

## 21 (6) Optional Debriefing

22 Figure 11 illustrates how Position Report 30 can be  
23 handled. The entity interested in the Position Report 30  
24 (for example the company) would receive report 30 (90) and  
25 review the report (92). If there is no disparity on  
26 respondents' rankings or if any disparity is not of concern  
27 (94) the end user or customer can use the report for job  
28 description (120), future planning (122) or interviewing  
29 (112).

30 Note, however, that it is contemplated that a customer  
31 may want to meet with respondents to Position Survey 20

1 after it has been completed (96), review the definitions of  
2 competencies (98) and get an agreement on the most  
3 important competencies for the position (100) before using  
4 Position Report 30 further.

5 As shown in Figure 11, Position Report 30 could even  
6 be used to change the job description (114, 116, 118, 130).  
7 Still further, it can be used to weigh competencies (106)  
8 as will be described later.

9 If a disparity in rankings is of concern, a meeting  
10 with respondents can take place (124) and the process  
11 repeated (126) to try to get better consensus (128).

#### 12 **F. Alternatives, Features, Options**

13 The included preferred embodiment is given by way of  
14 example only, and not by way of limitation to the  
15 invention, which is solely described by the claims herein.  
16 Variations obvious to one skilled in the art will be  
17 including within the invention defined by the claims.

18 For example, surveys regarding other competencies or  
19 hard skills could be added to Position Survey 20 and  
20 Position Report 30. This could also assist an interviewer,  
21 or help define a job.

22 Additionally, as stated previously, live discussion or  
23 debriefing of a Position Report with respondents or other  
24 parties could be conducted to fine-tune or alter a  
25 description of the job. It is not required.

26 Still further, after obtaining a definition of a job  
27 through use of a Position Survey, and then producing a  
28 Position Report, other actions related thereto could be  
29 taken, such as are discussed below.





1 From the Personal Competency Inventory Report 32, an  
2 employer can compare the same with a Position Report 30.  
3 The employer can select candidates for the position based  
4 on the highest correlation between report 30 and report 32.  
5 Report 30, if it includes interview questions, can then be  
6 used advantageously by the employer to further probe  
7 whether the selected candidates fit the competency  
8 requirements of Position Report 30.

9 Therefore, by utilizing both reports 30 and 32, an  
10 employer is given the tools to evaluate perspective  
11 employees based on the Set of Competencies related to  
12 behavior and values and the competencies deemed by  
13 incumbents in the position that perform at a high level, to  
14 be the most important such competencies.

### 15 (3) Feedback Survey

16 It can also be advantageous for a company to track the  
17 performance of an employee. System 10 allows this as  
18 follows. Periodically, an employee functioning in a  
19 position, as well as others such as a superior, one or more  
20 subordinates, or one or more peers, can take a Feedback  
21 Survey such as shown in Figures 15-17. The competencies  
22 previously described are used to evaluate present employees  
23 using the Feedback Survey.

### 24 (4) Feedback Report

25 The answers to Feedback Reports 24 of Figures 15-17  
26 can then be compiled in a Feedback Report 34 such as shown  
27 in Figures 18 and 19. The views of others regarding the  
28 employee, as well as the employee's own use, are then  
29 quantified. Variations in those results can then be  
30 compared. This can be very helpful in assisting the

1 employee develop the competencies most important for the  
2 job. It can also be used to determine whether a certain  
3 employee is not the correct fit for a job.

#### 4 (6) Interview Candidate Record

5 Figures 20-22 illustrate forms that can be used by an  
6 interviewer while interviewing several different candidates  
7 for a position. Figures 20 and 21 are hypothetical  
8 examples for two different candidates for the same job.  
9 The top five competencies from the Position Report 30 are  
10 set forth in the Interview Candidate Record. Weighting of  
11 the importance of the competency to other competencies is  
12 set forth, as well as a ranking from the personal  
13 competency index taken by the employee.

14 A weighting result is achieved by multiplying the two.  
15 Summation of those products gives a total score for the  
16 candidate. The form also allows the interviewer to write  
17 notes regarding the rating for future reference. Finally,  
18 Figure 23 illustrates a comparison chart of the top five  
19 competencies for each of the candidates to assist in a  
20 selection process for the position.

21

#### 22 VII. CLAIMS

23

1.

24 A method of developing criteria of performance for a job  
25 position comprising:

26 (a) defining a set of observable behavioral

27 characteristics relevant to a performance in jobs;